

Express Mailing Label No.: EV 089821605 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Barbara Huff, Howard Pfeffer, Michael Gazillo and Jack Cashman

Serial No.: 09/761,571

Group Art Unit: 2131

Filed: 12/07/2000

Examiner:

For: System and Method for Password Authentication for Non-LDAP Regions

TRANSMITTAL LETTER

Commissioner for Patents Washington, D.C. 20231

Dear Sir:

Enclosed please find the following:

- 1. Renewed Petition Under 37 C.F.R. 1.137(b)
- 2. Petition Under 37 C.F.R. 1.47(a)
- 3. Declaration of Attorney Jon L. Roberts
- 4. Copy of Decision Letter
- 5. Copy of signed Declaration and Power of Attorney for Inventor Huff
- 6. Extension of Time (PTO/SB/22)
- 7. A check in the amount of \$240.00 (\$110.00 Extension of Time, and \$130.00 for Petition Under 37 C.F.R. 1.47(a))

The Commissioner is hereby authorized to charge any fee deficiency, or credit any overpayment, to Deposit Account No. 18-1579. The Commissioner is also authorized to charge Deposit Account No. 18-1579 for any future fees connected in any way to this application.

Respectfully submitted,

Jon L. Roberts

Registration No. 31,293

Roberts Abokhair & Mardula, LLC

11800 Sunrise Valley Drive

Suite 1000

Reston, VA 20191

(703) 391-2900

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DEC 2 0 2002

OFFICE OF PETITIONS

UNITED STATES PATENT & TRADEMARK OFFICE Washington, D.C. 20231

REQUEST FOR PATENT FEE REFUND					
1 Date of Request: 3 10 03 2 Serial/Patent # 09 73 1-57 1					
3 Please refund the following fee(s):		4 PAPER NUMBE		6 AMOUNT	
	Filing			\$	
	Amendment			\$	
	Extension of Time			\$	
	Notice of Appeal/Appeal			\$	
	Petition	6	12/18/02	\$130.60	
	Issue			\$	
	Cert of Correction/Terminal Disc.			\$	
	Maintenance			\$	
	Assignment			\$	
	0ther			\$	
		7 TOTAL AMOUNT OF REFUND		\$ 130.00	
		8 TO B	E REFUNDED E	3Y:	
10 RE	ASON:	Treasury Check			
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	Duplicate Payment	9	181	579	
V	No Fee Due (Explanation):	<u> </u>			
NOFEE REO'd renewed 1.47 pet.					
	•				
11 REFUND REQUESTED BY:					
TYPED/PRINTED NAME: CHARLENA GRAST TITLE: OUTON					
SIGNATURE: Chara K. That PHONE: 306-0257					
OFFICE: Petar					
THIS SPACE RESERVED FOR FINANCE USE ONLY:					
APPROVED: Clicia Kelle DATE: 3/11/05					

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Office of Finance Refund Branch Crystal Park One, Room 802B

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

cation of Barbara Huff, Howard Pfeffer, Michael Gazillo and Jack Cashman

Serial No.: 09/761,571

Group Art Unit: 2131

Filed: 12/07/2000

Examiner:

For: System and Method for Password Authentication for Non-LDAP Regions

RENEWED PETITION UNDER 37 C.F.R. 1.137(b)

Commissioner for Patents Washington, D.C. 20231

Dear Sir:

In reply to the Decision Dismissing Petition dated of September 26, 2002 (hereinafter "the Decision"), Applicant respectfully requests reconsideration of the Decision. In the Decision it is reasoned that dismissal of Applicant's Petition is appropriate since Applicant has not provided a response in the form of submission of missing parts after receipt of the "Notice to File Missing Parts from the U.S. Patent and Trademark Office (USPTO). In particular, Applicant filed an application without a declaration. In its Petition to Revive, Applicant sought 1.47 status and filed a declaration signed by one inventor on behalf of all inventions. The Decision denied Applicant's request for 1.47 status, thus rendering the proffered declaration unacceptable.

Applicant renews it petition under Section 1.137 and submits in support thereof a renewed petition under Section 1.47 along with the appropriate fee.

In view of this supplemental submission, grant of the Petition is respectfully requested.

Respectfully submitted,

Jon L. Roberts

Registration No. 31,293

Roberts Abokhair & Mardula, LLC

11800 Sunrise Valley Drive

Suite 1000

Reston, VA 20191

r(703) 391**-29**00

V11/2003 AKELLEY 02 FC:1251 December 18, 2002

DEC 2 0 2002 OFFICE OF PETITIONS

Atty. Docket No. 2585-013

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Express Mailing Label No.: EV 089821605 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Barbara Huff, Howard Pfeffer, Michael Gazillo and Jack Cashman

Serial No.: 09/761,571

Group Art Unit: 2131

Filed: 12/07/2000

Examiner:

For: System and Method for Password Authentication for Non-LDAP Regions

ON UNDER 37 C.F.R. § 1.47(a)

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OFFICE OF PETITIONS

Commissioner for Patents Washington, D.C. 20231

Dear Sir:

The above-identified application was filed in the U.S. Patent and Trademark Office on December 7, 2000 with an unexecuted Declaration under 37 C.F.R. § 1.63.

As will be explained in more detail below, inventor Barbara Huff subsequently executed a Declaration. Inventor Jack Cashman has been located and but has not sign a Declaration. Inventors Jack Cashment, Howard Pfeffer, and Michael Gazillo have not joined Barbara Huff in the above referenced application. The signing inventor respectfully petitions to file the above referenced application on her behalf and on behalf of the non-signing inventors.

PERTINENT FACTS

As noted above, the above referenced patent application was filed with missing parts on December 7, 2000. On May 30, 2001, inventor Gazillo was sent by FedEx a copy of the specification, an assignment, and a declaration with instructions to execute the assignment and a declaration with instructions to execute the assignment and a declaration with instructions to execute the assignment.

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December 18, 2002 -1-Atty. Docket No.: declaration and return it to Patent Counsel in a prepaid return envelope. However, no response was received from Inventor Gazillo.

Inventor Pfeffer could not be located despite repeated efforts to do so.

Inventor Cashman has been located and provided a copy of the specification and claims, and a declaration for execution. Despite repeated efforts of counsel, Inventor Cashman has not responded to requests to execute the declaration and return it to counsel for Applicant.

A declaration by counsel in support of these facts is attached hereto.

Pursuant to employee agreements, all four inventors had obligations to send executed documents related to this application and to assign them rights to assignee Road Runner, Inc.

The last known addresses for the inventors are:

Michael Gazillo	Jack Cashman	Howard Pfeffer	Barbara Huf
7 Seir Road, Unit 38	21344 Hidden Pond Pl.	7 Greenwood Street	20871 PawPaw Ct.
Norwalk, CT 06850	Ashburn, VA 20148	Lexington, MA 02421	Ashburn, VA 20147

In view of the above statement of facts Applicant/Assignee Road Runner, Inc. hereby submits (1) a Declaration of the undersigned attorney setting forth the facts and circumstances surrounding the inability to obtain the signatures of all the inventors, (2) Declaration of Inventor Huff, (3) copy of the recorded assignment of Inventor Huff, and (4) the fee specified in 37 C.F.R. § 2.6.

In view of this submission, grant of this Petition is respectfully requested.

Respectfully submitted

Jon L. Roberts

Registration No. 31,293

Roberts Abokhair & Mardula, LLC

11800 Sunrise Valley Drive

Suite 1000

Reston, VA 20191

(703) 391-2900

-2.

Express Mailing Label No. EV 089821605US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Barbara Huff, Howard Pfeffer, Michael Gazillo and Jack Cashman

Serial No.: 09/761,571

Group Art Unit: 2131

Filed: 12/07/2000

Examiner:

For: System and Method for Password Authentication for Non-LDAP Regions

DECLARATION UNDER 37 C.F.R. § 1.131

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Commissioner for Patents Washington, D.C. 20231

OFFICE OF PETITIONS

Dear Sir:

I, Jon L. Roberts, a registered patent attorney (No. 31,293), declare as follows:

I represented and continue to represent Road Runner, Inc., the Assignee of the above referenced application, as patent counsel, and I am familiar with the prosecution of the above referenced application. This Declaration under 37 C.F.R. § 1.131 is provided in support of a Petition under 37 C.F.R. § 1.47(a) seeking 1.47(a) status for Inventors Cashman, Gazillo and Pfeffer.

During the drafting of the application, copies of the specification and claims were reviewed by all of the inventors. In May of 2000, I received edits from all inventors. Further, numerous attempts were made to secure the signature of all of the inventors on a declaration and on an assignment.

Not all of these attempts can be documented. However, I have recited the facts surrounding those efforts for which documentary evidence can be provided. The

December 18, 2002

Atty. Docket No.: 2585-013

-1-

undersigned, based on recollection and belief, declares that other efforts were made to procure signatures from the inventors prior to filing the application and to locate the inventors after learning that they had left the employment of Assignee. With respect to locating the Inventor Pfeffer, not only were inquiries made to Assignee, but attempts were made to acquire a valid contact information through Web searches and other means.

With respect to Inventor Michael Gazillo, I called Inventor Gazillo on a number of occasions and left messages on his answering machine, but he did not respond.

Additionally, a copy of the patent application and documents for execution were sent by FedEx on May 30, 2001 (copy of letter and FedEx receipt attached) accompanied by a pre-paid return envelope. A reminder letter was sent on June 18, 2001 (copy attached). A notation in the billing records for May 30, 2001 reads as follows:

Teleconference with M. Gazillo. Preparation of Declaration and Power of Attorney and Assignment relative to existing application. Preparation of correspondence to M. Gazillo regarding signature requirements.

Again, no response from Inventor Gazillo was received.

The correspondence together with the billing entry are proof that the Inventor Gazillo received a copy of the application and was made aware of the need to sign the declaration and return it to counsel.

Both Inventor Cashman and Inventor Pfeffer left the employment of Assignee Road Runner without executing a declaration. By email dated May 8, 2001, Assignee provided what was believed to be the address of each of these Inventors (copy attached). Based on recollection and belief, no attempt was made to send a copy of the application and documents for execution to the Pfeffer address because it was determined that the addresses and contact information were out of date. An extensive Web research was

December 18, 2002

made through Yahoo! and other search engines. These searches did not provide me or my firm with the whereabouts of Inventor Pfeffer. I also caused Assignee Road Runner (the former employer of both inventors) to inquire internally with the coworkers of Inventor Pfeffer (separate and apart from reviewing the personnel records of the Assignee). This effort did not produce accurate contact and/or mailing information for either inventor. A final inquiry was made to the human resources department of the Assignee as recent as November 25, 2002, which inquiry produced a business number for Inventor Pfeffer. I called the number provided for Inventor Pfeffer and was informed that he was no longer reachable at that number. The person answering the call declined to provide a forwarding number. I left a message with instructions for Inventor Pfeffer to call me. No communication from inventor Pfeffer has been received.

Inventor Cashman was contacted on November 25, 2002 and a copy of the specification and claims and a declaration were hand delivered to his residence (a copy of the transmittal letter is attached). On or about November 26, 2002 I spoke with Inventor Cashman about the documents in general and the declaration in particular. I advised Inventor Cashman that I had no objection to his seeking the advice of counsel. He assured me that I would hear from him or his counsel "shortly." The communication has been received from either the inventor or his counsel. On December 13, 2002, I phoned the residence of Inventor Cashman and left a message on an answering machine. Again, no response has been received by me or members of this firm.

Based on the conduct of Inventor Cashman to date, I have no reason to believe that he will sign the proffered declaration in a timely manner, if at all.

December 18, 2002

Atty. Docket No.: 2585-013

I declare further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 12/18/02

By:

Jon L. Roberts

Registration No. 31,293

Roberts Abokhair & Mardula, LLC

11800 Sunrise Valley Drive

Suite 1000

Reston, VA 20191

(703) 391-2900

COMMISSIONER FOR PATENT UNITED STATES PATENT AND TRADEMARK OFFIC WASHINGTON, D.C. 2023

Paper 5

Roberts Abokhair & Mardula, LLC Suite 1000 11800 Sunrise Drive Reston, VA 20191-5302

COPY MAILED

SEP 2 6 2002

In re Application of Huff et al. Application No. 09/731,571 Filed: December 7, 2000 Attorney Docket No.2585-006 OFFICE OF PETITIONS

DECISION ON PETITIONS 37 CFR 1.137(b) AND 1.47(a)

This is a decision on the petitions filed under 37 CFR §1.137(b) and §1.47(a) both filed June 10, 2002. The petition to revive under 37 CFR §1.137(b) will be addressed first.

The petition to revive under 37 CFR 1.137 (b) is **dismissed**. The petition under 37 CFR 1.47(a) is **dismissed**.

Any request for reconsideration must be submitted within TWO (2) Months from the mail date of this decision. Extensions of time under 37 CFR 1.136(a) are permitted. The reconsideration request should include a cover letter entitled "Renewed Petition under 37 CFR 1.137(b)". This is **not** final agency action within the meaning of 5 U.S.C. §704.

This above-identified application became abandoned for failure to file a response to a Notice to file Missing Parts of a Nonprovisional Application which was mailed on January 22, 2001. The Notice to File Missing Parts set an extendable two (2) month period for reply. No extensions of time were obtained under the provisions of 37 CFR §1.136(a). Accordingly, this application became abandoned on March 23, 2001. This decision precedes the mailing of a Notice of Abandonment.

This petition is **DISMISSED**.

A grantable petition under 37 CFR 1.137(b) must be accompanied by: (1) the required reply, unless previously filed; (2) the petition fee as set forth in 37 CFR 1.17(m); (3) a statement that "the entire delay in filing the required reply from the due date for the reply until the filing of a grantable petition pursuant to 37 CFR 1.137(b) was intentional"; and (4) any terminal disclaimer (and fee as set forth in 37 CFR 1.20(d)) required by 37 CFR 1.137(c). Where there is a question as to whether either the abandonment or the delay in filing a petition under 37 CFR 1.137 was unintentional, the Commissioner may require additional information. See MPEP 711.03 (c)(III)(C) and (D).

The instant petition lacks item (1). The required reply is a grantable rule 47 petition which petitioner has failed to provide.

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OFFICE OF PETITIONS

37 CFR 1.47(a)

The petition to accord rule 47 status is **DISMISSED**.

The above-identified application was filed on December 7, 2000, without an executed oath or declaration. Accordingly, on January 22, 2001, a "Notice to File Missing Parts of Nonprovisional Application" was mailed, requiring an executed oath or declaration and a \$130.00 surcharge for its late filing.

A grantable petition under 37 C.F.R. §1.47(a) requires: (1) proof that the non-signing inventor cannot be reached or refuses to sign the oath or declaration after having been presented with the application papers (specification, claims and drawings); (2) an acceptable oath or declaration in compliance with 35 U.S.C. §§115 and 116; (3) the petition fee; and (4) a statement of the last known address of the non-signing inventor. The instant petition does not satisfy requirement (1). Pursuant to petitioner's request deposit account 18-1579 has been charged the \$130.00 petition fee pursuant to 37 CFR 1.17(h) and the \$130.00 surcharge for late filing of the declaration pursuant to 37 CFR 1.16(e).

As to item (1), Rule 47 applicant has failed to show that co-inventor Michael Gazillo was ever presented with a copy of the application papers. Before a refusal can be alleged, applicant must demonstrate a bona fide attempt was made to present a copy of application papers (specification, including claims, drawings, and oath or declaration) to the non-signing inventor. See MPEP 409.03(d). Rule 47 applicant only indicates Gazillo was contacted and has refused to sign numerous mailings. Rule 47 applicant needs to establish what the "multiple mailings" consisted of. Did the mailings consist of the entire application? Rule 47 applicant must also provide more specific facts. If the entire application was submitted for Gazillo's execution, rule 47 applicant should provide the date and the method of delivery to inventor Gazillo. However, if the application papers (specification, including claims, drawings, and oath or declaration) have not been presented to inventor Gazillo, rule 47 applicant must do so before rule 47 status will be granted.

As to inventors Jack Cashman and Howard Pfeffer rule 47 applicant has failed to provide sufficient evidence to establish "diligent effort" was made to locate inventors Cashman and Pfeffer. Petitioner merely states the inventors were not located after "multiple delinquent (sic) efforts".

Applicant should present copies of documentary evidence that support a finding that the non-signing inventor could not be found or reached and the steps taken to locate the non-signing inventor. If applicant provides sufficient evidence that diligent effort has been made to locate the inventor and inventor can not be located, 47 applicant is not required to send a copy of the application.

Rule 47 applicant indicates one of the inventors is now employed by a competing company. The inventors employment with a competitor does not waive the requirements

of rule 47. See MPEP 409.03(b).

Upon renewed petition, rule 47 applicant must demonstrate application papers were sent to inventor Gazillo and what efforts which rise to "diligent effort" were used to locate inventors Cashman and Pfeffer.

Further correspondence with respect to this matter should be addressed as follows:

By mail:

Commissioner for Patents

Box DAC

Washington, D.C. 20231

By FAX:

(703) 308-6916

Attn: Office of Petitions

By hand:

Crystal Plaza Four, Suite 3C23

2201 S. Clark Place

Arlington, VA

Telephone inquiries concerning this matter should be directed to Petitions Attorney Charlema R. Grant at (703) 306-0251.

Beverly M. Flanagan

Supervisory Petitions Examiner

Office of Petitions

Office of the Deputy Commissioner

for Patent Examination Policy

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Amplication of Barbara Huff. Howard Pfeffer. Michael Gazillo and Jack Cashman

Serial No.:

09/731,571

Group Art Unit:

Filed:

12/7/2000

Examiner:

FOR: SYSTEM AND METHOD FOR PASSWORD AUTHENTICATION FOR NON-LDAP

REGIONS

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As below inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, joint and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled SYSTEM AND METHOD FOR PASSWORD AUTHENTICATION FOR NON-LDAP REGIONS, the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37. Code of Federal Regulations. § 1.56(a).

I hereby appoint the following attorney(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

John K. Abokhair
Registration No. 30,537
Jon L. Roberts
Registration No. 31,293
Kevin L. Pontius
Registration No. 37,512
Christopher B. Kilner
Registration No. 45,381
Roberts Abokhair & Mardula, L.L.C.
11800 Sunrise Valley Drive
Suite 1000
Reston, Virginia 20191-5302
(703) 391-2900

I declare that all statements made herein of my own knowledge are true and that all statements made to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of inventor <u>Barbara Huff</u>	
Inventor's Signature Kalana VAM	Date 6/21/0
Residence 12607 W. 83rd Drive Arvada, Co 80005	
Post Office Address:	
Citizenship: <u>USA</u>	
Full name of inventor <u>Howard Pfeffer</u>	
Inventor's Signature	_Date
Residence <u>Lexington, MA 02421</u>	
Post Office Address: 7 Greenwood Street, Lexington, MA	A 02421
Citizenship <u>U.S.A.</u>	
Full name of inventor <u>Michael Gazillo</u>	
Inventor's Signature	Date
Residence Norwalk, CT 06850	
Post Office Address: 7 Seir Hill Road, Unit 38 Norwalk,	CT 06850
Citizenshin USA	

Full name of inve	ntor <u>Jack Cashman</u>
Inventor's Signatu	reDate
Residence A	shburn, VA 20148
Post Office Addre	ss: 21344 Hidden Pond Place, Ashburn, VA 20148
Citizenship U.	S A

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PTO/SB/22 (8-00) Approved for use through 10/31/2002. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

perwork Reduction Act of 1995, no persons are required to respond to a collection of information unless if displays a valid OMB control number **Docket Number (Optional)** PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a) 2585-013 In re Application of Barbara Huff, Howard Pfeffer, Michael Gazillo and Jack Cashman Application Number Filed 09/761,571 12/07/2000 For System and Method for Password Authentication for Non-LDAP Regions Group Art Unit Examiner This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a reply in the above identified application. The requested extension and appropriate non-small-entity fee are as follows (check time period desired): One month (37 CFR 1.17(a)(1)) \$ 110.00 Two months (37 CFR 1.17(a)(2)) Three months (37 CFR 1.17(a)(3)) Four months (37 CFR 1.17(a)(4)) Five months (37 CFR 1.17(a)(5)) Applicant claims small entity status. See 37 CFR 1.27. Therefore, the fee amount shown above is reduced by one-half, and the resulting fee is: \$___ A check in the amount of the fee is enclosed. Payment by credit card. Form PTO-2038 is attached. The Commissioner has already been authorized to charge fees in this application to a Deposit Account. The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number _____ I have enclosed a duplicate copy of this sheet. I am the assignee of record of the entire interest. applicant. attorney or agent of record. attorney or agent under 37 CFR 1.34(a). Registration number if acting under 37 CFR 1.34(a)_ WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. Signature Jon L. Roberts Typed or printed name

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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